

012604

15066 U.S. PTO

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PTO/SB/05 (2/98)

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for nonprovisional applications under 37 CFR § 1.53(b))

| | |
|--|--|
| Attorney Docket No. | SUZU1220 |
| First Inventor or Application Identifier | Shigehiro Asano, et al. |
| Title | SYSTEMS AND METHODS FOR BANDWIDTH SHAPING |
| Express Mail Label No. | EV351127984US |

| | |
|---|---|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 |
|---|---|

| | |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal for FY 2004 <i>(Submit an original and a duplicate for fee processing)</i> | 6. <input type="checkbox"/> Microfiche Computer Program (Appendix) |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages] 46 <i>(preferred arrangement set forth below)</i> <input checked="" type="checkbox"/> Descriptive Title of the Invention <input type="checkbox"/> Cross References to Related Applications <input checked="" type="checkbox"/> Background of the Invention <input checked="" type="checkbox"/> Summary of the Invention <input checked="" type="checkbox"/> Brief Description of the Drawings <i>(if filed)</i> <input checked="" type="checkbox"/> Description of Preferred Embodiments <input type="checkbox"/> References <input checked="" type="checkbox"/> Claim(s) <input checked="" type="checkbox"/> Abstract of the Disclosure | 7. Nucleotide and Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer-Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies |

| | | |
|---|---|--|
| 3. <input checked="" type="checkbox"/> Drawing(s) <i>(35 USC 113)</i> [Total Sheets] 5 | ACCOMPANYING APPLICATION PARTS | |
| 4. <input checked="" type="checkbox"/> Oath or Declaration 2 [Total Pages] a. <input checked="" type="checkbox"/> Newly executed / (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) | 8. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> 10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations 12. <input type="checkbox"/> Preliminary Amendment 13. <input checked="" type="checkbox"/> Return Receipt Postcard 14. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Status still proper and desired 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input checked="" type="checkbox"/> Other: Certificate of Mailing; Filing Fee | |
| 5. <input type="checkbox"/> Incorporation By Reference <i>(useable if box 4b is checked)</i> . The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. | | |

17. **If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment**

☐ Continuation
 ☐ Divisional
 ☐ Continuation-In-Part (CIP)
 of prior Application No.: _____

Prior application information: Examiner _____ Group / Art Unit _____

☐ Claims the benefit of Provisional Application No. _____

| | |
|---|---|
| CORRESPONDENCE ADDRESS: | |
| Gray Cary Ware & Freidenrich LLP 1221 South MoPac Expressway, Suite 400 Austin, TX 78746-6875 Tel. (512) 457-7016 Fax. (512) 457-7001 | Customer No. : 25094 |

TYPED or PRINTED NAME **Mark L. Berrier** REGISTRATION NO. **35,066**
 SIGNATURE _____ DATE: **January 26, 2004**

012604

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**FEE TRANSMITTAL
for FY 2004**

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$)** 1116.00**Complete if Known**

| | |
|----------------------|-------------------------|
| Application Number | Unknown |
| Filing Date | January 26, 2004 |
| First Named Inventor | Shigehiro Asano, et al. |
| Examiner Name | Unknown |
| Art Unit | Unknown |
| Attorney Docket No. | SUZU1220 |

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ NoneDeposit
Account
Number

50-0456

Deposit
Account
Name

Gray Cary Ware & Freidenrich LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge (fees) indicated below. ☐ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for filing fee
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1001 | 750 | 2001 | 375 | Utility filing fee | 770.00 |
| 1002 | 330 | 2002 | 165 | Design filing fee | |
| 1003 | 520 | 2003 | 260 | Plant filing fee | |
| 1004 | 750 | 2004 | 375 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 770.00**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| | | | | | | | | | |
|--------------------|----|---------|----|---|----------------|----|---|----------|----------|
| Total Claims | 37 | -20** = | 17 | X | Fee from below | 18 | = | Fee Paid | \$306.00 |
| Independent Claims | 3 | -3** = | 0 | X | Fee from below | 86 | = | Fee Paid | \$0.00 |
| Multiple Dependent | | | | X | | | = | | |

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 | |
| 1201 | 84 | 2201 | 42 | Independent claims in excess of 3 | |
| 1203 | 280 | 2203 | 140 | Multiple dependent claim, if not paid | |
| 1204 | 84 | 2204 | 42 | ** Reissue independent claims over original patent | |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2) (\$) 306.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**


| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 410 | 2252 | 205 | Extension for reply within second month | |
| 1253 | 930 | 2253 | 465 | Extension for reply within third month | |
| 1254 | 1,450 | 2254 | 725 | Extension for reply within fourth month | |
| 1255 | 1,970 | 2255 | 985 | Extension for reply within fifth month | |
| 1401 | 320 | 2401 | 160 | Notice of Appeal | |
| 1402 | 320 | 2402 | 160 | Filing a brief in support of an appeal | |
| 1403 | 280 | 2403 | 140 | Request for oral hearing | |
| 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,300 | 2453 | 650 | Petition to revive - unintentional | |
| 1501 | 1,300 | 2501 | 650 | Utility issue fee (or reissue) | |
| 1502 | 470 | 2502 | 235 | Design issue fee | |
| 1503 | 630 | 2503 | 315 | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | 40.00 |
| 1809 | 750 | 2809 | 375 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 750 | 2810 | 375 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 750 | 2801 | 375 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.00**SUBMITTED BY**

Complete (if applicable)

| | | | | | |
|-------------------|---|-----------------------------------|------------------|-----------|--------------|
| Name (Print/Type) | Mark L. Berrier | Registration No. (Attorney/Agent) | 35,066 | Telephone | 512-457-7016 |
| Signature |  | Date | January 26, 2004 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

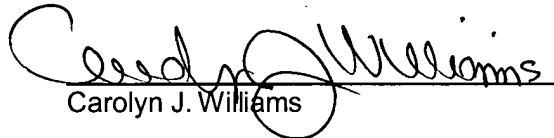
Gray Cary/AU4121338.1

| IN THE UNITED STATES PATENT AND TRADEMARK OFFICE | |
|---|--|
| CERTIFICATE OF MAILING BY "EXPRESS MAIL" | Atty Docket No. (Optional) SUZU1220 |
| Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 Sir: | In the Application of: Shigehiro Asano, et al. |
| | Date Filed: January 26, 2004 |
| | Title: Systems and Methods for Bandwidth Shaping |

I hereby certify that the attached Utility Patent Application Transmittal Form, Fee Transmittal, executed Declaration and Power of Attorney, executed Assignment and Recordation Cover Sheet, Utility Patent Application, five (5) pages of Drawings, Information Disclosure Statement (with reference A1), Checks and Postcard are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. **EV351127984US**, on **January 26, 2004** addressed to: **Mail Stop Patent Application**, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,

Gray Cary Ware & Freidenrich LLP


 Carolyn J. Williams